



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Amit Ganesh, et al.

Serial No.: 10/650,362

Filed on: August 27, 2003

) Confirmation No.: 7319  
)  
) Examiner: NYA  
)  
) Group Art Unit No.: 2184  
)

For: METHOD AND APPARATUS FOR MAKING AVAILABLE DATA THAT WAS  
LOCKED BY A DEAD TRANSACTION BEFORE ROLLING BACK THE ENTIRE  
DEAD TRANSACTION

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.56, 1.97 and 1.98, the attention of the Patent and Trademark Office is hereby directed to the references listed on the attached form PTO-1449. It is respectfully requested that the references be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom. Some of the references were cited during the prosecution of the parent application, continuation of U.S. Patent Application Serial No. 09/156,557, filed on September 17, 1998, entitled "Method and Apparatus for Making Available Data That Was Locked by a Dead Transaction Before Rolling Back the Entire Dead Transaction", which is a continuation-in-part of U.S. Patent Application Serial No. 09/141,765, filed on August 27, 1998, entitled "Method and Apparatus for Improved Transaction Recovery" and issued as U.S. Patent No. 6,182,241, which is a continuation of U.S. Patent Application Serial No. 08/618,443, filed March 19, 1996, entitled "Method and Apparatus for Improved Transaction Recovery" and issued as U.S. Patent No. 5,850,507 on December 15, 1998. Enclosed is a copy of Information Disclosure Citation Form PTO-1449 and it is respectfully

requested that the cited documents be considered and be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

  X   37 C.F.R. §1.97(b).

       37 C.F.R. §1.97(c). If so, then this Information Disclosure Statement includes one of the following:

       A statement pursuant to 37 C.F.R. §1.97(e)

       1.97(e)(1) The undersigned hereby states that each item of information contained in this information disclosure statement was first cited in communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.

       1.97(e)(2) The undersigned hereby states that no item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in this information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this information disclosure statement.

       A check for \$180.00 for the fee under 37 C.F.R. § 1.17(p).

       37 C.F.R. §1.97(d). If so, then this Information Disclosure Statement includes the following:

       A statement pursuant to 37 C.F.R. §1.97(e)

       1.97(e)(1) The undersigned hereby states that each item of information contained in this information disclosure statement was first cited in communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement; OR

       1.97(e)(2) The undersigned hereby states that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign

application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this information disclosure statement.

AND

\_\_\_\_\_ A check for \$180.00 for the fee under 37 C.F.R. §1.17(i) for submission of the Information Disclosure Statement.

\_\_\_\_\_ 37 C.F.R. §1.97(i). Wherein applicants are submitting references before the grant of a patent to be placed in the file but not considered by the Patent office.

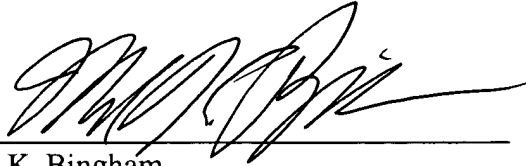
- (1) Accordingly, copies of the references as listed on the attached Form PTO 1449 are submitted herewith for placement in the file. No certification or fees are deemed necessary.

Throughout the pendency of this application, please charge any additional fees, including any required extension of time fees, and credit all overpayments to deposit account 50-1302. A duplicate of this sheet is enclosed.

Respectfully submitted,

HICKMAN PALERMO TRUONG & BECKER LLP

Dated: January 20, 2004



Marcel K. Bingham  
Reg. No. 42,327

1600 Willow Street  
San Jose, California 95125-5106  
Telephone: (408) 414-1080  
Facsimile: (408) 414-1076

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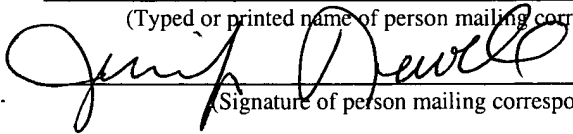
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on

January 20, 2004

(Date of Deposit)

Jennifer Newell

(Typed or printed name of person mailing correspondence)



(Signature of person mailing correspondence)

<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  (PTO-1449)	<b>ATTY. DOCKET NO.</b> 50277-2210	<b>SERIAL NO.</b> 10/650,362
	<b>APPLICANT:</b> Amit Ganesh, et al.	
	<b>FILING DATE:</b> August 27, 2003	<b>GROUP:</b> 2184

**U.S. PATENT DOCUMENTS**

Exam. Initial*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (If known)			
		5,065,311		Masai et al.	11-12-1991	
		5,155,678		Fukumoto et al.	10-13-1992	
		5,170,480		Mohan et al.	12-08-1992	
		5,201,044		Frey, Jr. et al.	04-06-1993	
		5,265,221		Miller	11-23-1993	
		5,276,901		Howell et al.	01-04-1994	
		5,280,611		Mohan et al.	01-18-1994	
		5,333,303		Mohan	07-26-1994	
		5,333,314		Masai et al.	07-26-1994	
		5,335,343		Lampson et al.	08-02-1994	
		5,428,778		Brookes	07-27-1995	
		5,440,727		Bhide et al.	08-08-1995	
		5,481,699		Saether	01-02-1996	
		5,485,608		Lomet et al.	01-16-1996	
		5,524,205		Lomet et al.	06-04-1996	
		5,524,239		Fortier	06-04-1996	

**FOREIGN PATENT DOCUMENTS**

Exam. Initial*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD- YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (If known)				

<b>Examiner Signature</b>	<b>Date Considered</b>
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b> (PTO-1449)	<b>ATTY. DOCKET NO.</b> 50277-2210	<b>SERIAL NO.</b> 10/650,362
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		Number	Kind Code <sup>2</sup> (If known)			
		5,524,241		Ghoneimy et al.	06-04-1996	
		5,551,046		Mohan et al.	08-27-1996	
		5,561,795		Sarkar	10-01-1996	
		5,596,710		Voigt	01-21-1997	
		5,630,047		Wang	05-13-1997	
		5,734,817		Roffee et al.	03-31-1998	
		5,751,949		Thompson et al.	05-12-1998	
		5,787,428		Hart	07-28-1998	
		5,819,020		Beeler, Jr.	10-06-1998	
		5,850,507		Ngai et al.	12-15-1998	
		5,857,204		Lordi et al.	01-05-1999	
		5,933,838		Lomet	08-03-1999	
		5,940,818		Malloy et al.	08-17-1999	
		5,974,563		Beeler Jr.	10-26-1999	
		6,067,550		Lomet	05-23-2000	
		6,134,549		Regnier et al.	10-17-2000	
		6,178,428		Pystynen et al.	01-23-2001	
		6,182,241		Ngai et al.	01-30-2001	

### FOREIGN PATENT DOCUMENTS

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		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (If known)				

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 PATENT & TRADEMARK

**SERIAL NO.**  
**10/650.362**

**FILING DATE:**  
August 27, 2003

GROUP:  
2184

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Page 3 of 4

<b>Substitute for Form 1449A/PTO (Modified)</b> (use as many sheets as necessary)	<b>Attorney Docket No.:</b> 50277-2210	<b>Application Number:</b> 10/650,362
	<b>First Named Inventor:</b> Amit Ganesh	
	<b>Filing Date:</b> August 27, 2003	

**OTHER ART – NO PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	Translation <sup>2</sup>
		Mohan et al., Aries - RRH: Restricted Repeating of History in THE Aries Transaction Recovery Method, Data Engineering, 7th Int'l. Conference, IEEE, pp. 718-737. 1991.	
		IBM Technical Disclosure Bulletin, "Shared Data Availability Across A System Failure" Vol. 28, No. 3, pp. 950-951, Aug. 1985.	
		Microsoft Press, "Microsoft Press Computer Directory, Third Edition," pp. 408.	
		Oxford Univeresity Press, Dictionary of Computing, Fourth Edition, pp. 125, 199.	

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